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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/966,223	09/28/2001	James B. Kargman	P06,0169-02	5896
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SCHIFF HARDIN, LLP PATENT DEPARTMENT 6600 SEARS TOWER CHICAGO, IL 60606-6473			EXAMINER	
			BACKER, FIRMIN	
			ART UNIT	PAPER NUMBER
			3621	
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			05/18/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	Application No.		Applicant(s)	
	09/966,223		KARGMAN, JAMES B.	
	Examiner		Art Unit	
	FIRMN BACKER		3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 02 March 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

## DETAILED ACTION

### *Claim Rejections - 35 USC § 103*

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-39 are rejected under 35 U.S.C. 103(a) as being unpatentable over Movalli et al (U.S. PG Pub No. 2005/0004876 A1) in view of Walker et al (U.S. PG Pub No. 2003/0149632 A1).

3. As per claim 1, 18, Movalli et al teach a method of electronically executing a commercial transaction between a customer and a vendor, the method comprising transmitting electronically a transaction code from the customer to an electronic order processing system associated with the vendor; receiving the transaction code by the order processing system associated with the vendor; identifying the user based upon the contents of the transaction code; authenticating the transaction code; identifying a commercial transaction associated with the transaction code; and executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*). Movalli et al fail to teach transaction between a remotely located customer and a vendor. However, Walker et al teach transaction between a remotely located customer and a vendor (*see fig 1, pps 0044, 0045*). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Movalli et al's disclosure to include Walker et al's transaction

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between a remotely located customer and a vendor because this would have enhance the flexibility of the transaction system.

4. As per claim 2, 20, Movalli et al teach a method where the transaction code is comprised of a telephone dialing sequence, and applying the transaction code dial sequence to a line associated with a public switched telephone network (*see figs 1*).

5. As per claim 3, 21, Movalli et al teach a method in which the transaction code is comprised of a Universal Resource Locator, and the transaction code is transmitted via the Internet (*see fig 1, 2, 3*).

6. As per claim 4, 19 Movalli et al teach a method of transmitting a transaction code that has been previously stored within digital memory associated with a wireless telephone via a wireless communications network (*see fig 1*).

7. As per claim 5, Movalli et al teach a method of identifying the contents of a user identification data field within the transaction code; locating the user identification data field contents within a database accessible by the order processing system (*see paragraphs 0046-0051*).

8. As per claim 6, Movalli et al teach a method of identifying the contents of a security code field within the transaction code; determining that the received transaction code is authentic

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when the contents of the security code field correspond to a previously-configured security code associated with the contents of the user identification data field, which previously-configured security code is stored within a database accessible by the order processing system (*see paragraphs 0046-0051*).

9. As per claim 7, Movalli et al teach a method of identifying a decryption key associated with the contents of the user identification data field; decrypting at least a portion of the transaction code using the identified decryption key; determining whether the decrypted portion of the transaction code is valid (*see paragraphs 0046-0051*).

10. As per claim 8, Movalli et al teach a method of identifying a decryption key based upon the identity of the user; decrypting at least a portion of the transaction code using the decryption key (*see paragraphs 0054*).

11. As per claim 9, Movalli et al teach a method of determining the contents of a transaction identification field within the transaction code; locating the contents of the transaction identification field within a database accessible by the order processing system; identifying the nature of the commercial transaction based upon information within the database associated with the contents of the transaction identification field (*see paragraphs 0046-0051*).

12. As per claim 10, Movalli et al teach a method of determining the contents of a transaction identification field within the transaction code; identifying the nature of the commercial

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transaction based upon information within the transaction identification field (*see paragraphs 0046-0051*).

13. As per claim 11, Movalli et al teach a method of locating a record within a database associated with the order processing system based upon the identity of the user; retrieving details of the commercial transaction from the database record associated with the user (*see paragraphs 0046-0051*).

14. As per claim 12, Movalli et al teach a method maintained within a point of sale computer system operated by the vendor (*see fig 1, 2*).

15. As per claim 13, Movalli et al teach a method of entering the identified commercial transaction into a point of sale computer system operated by the vendor (*see fig 1*).

16. As per claim 14, Movalli et al teach a method of electronically executing a commercial transaction between a customer and a vendor, the method comprising dialing a transaction code comprised of a telephone dial sequence onto a telephone network directed to an order processing system associated with the vendor; receiving a telephone call by the order processing system as a result of the dialing of the transaction code; detecting caller identification information received by the order processing system from the telephone network in conjunction with the telephone call; detecting at least a portion of the transaction code dial sequence by the order processing system associated with the vendor; identifying the user based upon the caller identification

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information received by the order processing system; identifying a commercial transaction associated with the transaction code; and executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*). Movalli et al fail to teach transaction between a remotely located customer and a vendor. However, Walker et al teach transaction between a remotely located customer and a vendor (*see fig 1, pps 0044, 0045*). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Movalli et al's disclosure to include Walker et al's transaction between a remotely located customer and a vendor because this would have enhance the flexibility of the transaction system.

17. As per claim 15, Movalli et al teach a method identifying a record in a database associated with the order processing system based upon the received caller identification information; retrieving details of the commercial transaction from the database record associated with the received caller identification information (*see figs 1*).

18. As per claim 16, Movalli et al teach a method of authenticating the user before executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*).

19. As per claim 17, Movalli et al teach a method prompting the user to enter a passcode; determining that the passcode entered corresponds to a passcode value previously stored within a database record associated with the caller identification information (*see figs 4, 5, paragraphs 0046-0051*).

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20. As per claim 22, Movalli et al teach a method conveyed to the electronic device via wireless messaging (*see fig 1, 2, 3*).

21. As per claim 23, Movalli et al teach a method identifying wireless message as a transaction code capable of storage within the user device; programming the transaction code into digital memory within the user device without requiring substantial intervention by the user (*see figs 4, 5, paragraphs 0046-0051*).

22. As per claim 24, Movalli et al teach a method where the transaction code is generated by a point of sale system associated with the vendor in response to a request by the customer (*see figs 1*).

23. As per claim 25, Movalli et al teach a method for the dissemination of information to a mobile electronic user device based upon the device location, for the facilitation of a commercial transaction between a customer and a vendor, the method comprising the steps of: identifying the location of the user device; determining that the location of the user device conforms to a predetermined location criterion for receipt of a message; conveying the message to the user device electronically (*see figs 4, 5, paragraphs 0046-0051*). Movalli et al fail to teach transaction between a remotely located customer and a vendor. However, Walker et al teach transaction between a remotely located customer and a vendor (*see fig 1, pps 0044, 0045*). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Movalli et al's disclosure to include Walker et al's transaction between a remotely



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located customer and a vendor because this would have enhance the flexibility of the transaction system.

24. As per claim 26, Movalli et al teach a method in which the message is a transaction code which can be stored within the user device and subsequently transmitted by the user device to initiate a commercial transaction (*see fig 1, 2, 3*).

25. As per claim 27, Movalli et al teach a method of determining that the location of the user device conforms to a predetermined criterion for receipt of a message is comprised of the step of determining that the location of the user device lies within a predetermined geographical region associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

26. As per claim 28, Movalli et al teach a method in which the user device is a cellular telephone, and the step of identifying the location of the user device is performed via triangulation techniques implemented by the communications infrastructure with which the cellular telephone operates (*see figs 4, 5, paragraphs 0046-0051*).

27. As per claim 29, Movalli et al teach a method in which the user device includes a global positioning system receiver, and the step of identifying the location of the user device is performed by receiving location information provided by the global positioning system receiver (*see fig 1, 2*).

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28. As per claim 30, Movalli et al teach a method of determining that the message satisfies one or more filter criteria preconfigured by the customer (*see fig 1, 2*).

29. As per claim 31, Movalli et al teach a method which the filter criteria are satisfied when one or more of the following message attributes conform to predetermined user preferences: the identity of the vendor; the geographical location of the vendor; the zip code in which the vendor is located; the city in which the vendor is located; the nature of the business conducted by the vendor; the frequency with which the customer enters the area in which the vendor does business; and the frequency with which the customer receives messages from the vendor (*see figs 4, 5, paragraphs 0046-0051*).

30. As per claim 32, Movalli et al teach a method of automatically deleting the transaction code from the user device upon the satisfaction of a deletion criterion (*see figs 4, 5, paragraphs 0046-0051*).

31. As per claim 33, Movalli et al teach a method which the deletion criterion is the expiration of a predetermined period of time since the transaction code was stored within the user device (*see figs 1*).

32. As per claim 34, Movalli et al teach a method which the deletion criterion is the transmission of the transaction code by the user device (*see fig 1, 2, 3*).

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33. As per claim 35, Movalli et al teach a method which the deletion criterion is the transportation of the user device a predetermined distance from a location associated with the vendor (*see fig 1, 2, 3*).

34. As per claim 36, Movalli et al teach a method comprised of map information identifying the location of the user device and a location associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

35. As per claim 37, Movalli et al teach a method of dissemination of information to a mobile electronic user device based upon the device location, for the facilitation of a commercial transaction between a customer and a vendor, the method comprising the steps of: identifying the current location of the user device; identifying the direction and rate at which the user device is moving; determining that the location, direction of travel and rate of travel of the user device conform to one or more predetermined criterion for receipt of a message; conveying the message to the user device electronically (*see figs 4, 5, paragraphs 0046-0051*). Movalli et al fail to teach transaction between a remotely located customer and a vendor. However, Walker et al teach transaction between a remotely located customer and a vendor (*see fig 1, pps 0044, 0045*).

Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Movalli et al's disclosure to include Walker et al's transaction between a remotely located customer and a vendor because this would have enhance the flexibility of the transaction system.

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36. As per claim 38, Movalli et al teach a method of determining the anticipated location of the user device at a predetermined time in the future based upon the current location, rate of travel and direction of travel; determining that the anticipated location of the user lies within a predetermined region associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

37. As per claim 39, Movalli et al teach a method of calculating a radius of accessibility for the customer operating the user device as an estimate of the geographical region over which the customer would travel to engage in a commercial transaction, which calculation is based upon the location, rate of travel and direction of travel of the user device; determining that a location associated with the vendor lies within the radius of accessibility (*see figs 4, 5, paragraphs 0046-0051*).

### ***Response to Arguments***

38. Applicant's arguments filed March 2<sup>nd</sup>, 2007 have been fully considered but they are not persuasive.

a. Applicant(s) argue that the prior art Movalli et al taken alone or in combination with Walker et al fail to teach or suggest identifying the user based on the content of the transaction code. Examiner respectfully disagrees with Applicant(s) characterization of Movalli et al's disclosure. Movalli et al teach among other things a method of generating tamper resistant secure endorsed transactions comprised of transaction data representative of transactions, *unique human identifiers corresponding to at least one party (emphasis added)*, called first party, endorsing a transaction, and public keys corresponding to at

least a second party endorsing a transaction. The public keys have corresponding private keys maintained in secret by the second party. The method has three steps, which are performed by a data processing system. First, the system receives a transaction data, a unique human identifier, and a public key. Next, a unique code is generated from the transaction data, the unique human identifier, and the public key. *The unique code constitutes a secure endorsement of the transaction data by the first party.* Lastly, using a private key corresponding to the received public key, a digital signature is generated by encrypting the unique code using the private key. The digital signature constitutes a secure endorsement of the transaction data by the second party. Furthermore Movalli et al teach a credit card transaction receipt, with a unique human identifier 220 associated with an individual, for example, a credit card holder, who has endorsed the transaction, in this example, a credit card transaction, and to generate a *unique code 240 based on the combination that is representative of the endorsed transaction. As shown, both transaction data 210, which is data representative of a transaction and may include, among other items, date, time, merchant identification, sale items, prices, and taxes, as well as printer language commands, form description language commands, form definition commands, and a unique human identifier 220, which may be a digitized signature, biometric, retinal pattern, and finger print, or the like, are provided to a unique code processor 230 that generates a unique code corresponding to the inputs 210 and 220 (emphasis added).* The unique code generated in Movalli et al's disclosure is directly link to the customer and the content of the transaction as shown above.

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b. In response to applicant's argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988) and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, both the disclosure of Moavlli et al and Walker et al are in the same environment and analogous. Therefore, Examiner disagrees with the Applicant(s) that a prima facie case has not been established with regard to the combination of the references.

c. Applicant further responded to a response of an argument in an office action mailed June 12, 2006. However, Examiner wish to indicated that the interpretation of the Movalli et al's reference is accurate and no further discussion is warranted.

### ***Conclusion***

39. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after

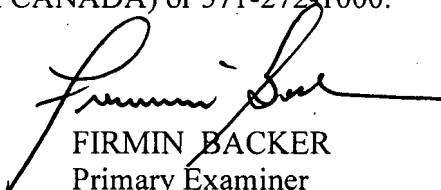
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the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to FIRMIN BACKER whose telephone number is 571-272-6703. The examiner can normally be reached on Monday - Thursday 9:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew J. Fischer can be reached on (571) 272-6779. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
FIRMIN BACKER  
Primary Examiner  
Art Unit 3621

May 7, 2007